



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

FORM A & R 10
2-75STATE
ARCHIVES AND RECORDS COMMISSION
COMMONWEALTH OF KENTUCKYRETENTION AND DISPOSAL SCHEDULE
GENERAL AGREEMENTS

Schedule for:

Dept. for Natural Resources &
Environmental Protection

Agency

Division

APPROVALS
Robert H. Bell
Agency Head and TitleDivision of Archives
and Records Howard H. Langford
DirectorArchives and
Records Commission Charles F. Hall
ChairmanDate Approved 4/30/76 No. of Schedule IIWE THE UNDERSIGNED OR THE AGENTS THEREOF HAVE EXAMINED THE RECORDS TYPES AS SHOWN
BELOW AND BELIEVE THAT THE DISPOSITION AS RECOMMENDED ON THIS SCHEDULE IS THE PROPER ONECharles Timothy Buggist
Agency Records OfficerRalph E. Trake
Assistant State Records
AdministratorLouis Bollard
Assistant State ArchivistMY STAFF HAVING CHECKED THE RECORDS TYPES LISTED IN THIS SCHEDULE FOR STATE
AUDITING REQUIREMENTS, THE DETERMINATION AS SET FORTH BELOW MEETS WITH MY APPROVAL4/21/76
DateGeorge L. Hittman
Auditor of Public Account

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Abandoned Mine Lands

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03339	Federal Cooperative Agreement Project File Change Date: 12/8/1988 (V)	This series documents the design and construction process of each project and is used to support a federal audit. After 1977, and before the Cabinet received regulatory primacy, the federal Office of Surface Mining granted funds on a project by project basis to reclaim abandoned land mined prior to August 3, 1977. The Office of Surface Mining provided oversight on these projects, while the Commonwealth provided the contract mechanism and manpower to design and monitor the construction. The Close -Out Report is the final financial statement done at the close of a project. It is sent to the federal government, with a copy enclosed in this file.	Series contains: Correspondence, realty-consents for entry, negotiation, property owner information, deeds, financial reports, contracts awarded and payment, planning job description, eligibility of federal laws, inventory updates, environmental assessments, design-progress reports, photos, negotiations records w/contracts, construction-generated progress forms, daily inspections, close-out report	Agency: 6	Records Center: 19	Archives Center: Transfer to the State Records Center. Destroy after audit. NOTE: Retention will be reviewed prior to destruction

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Abandoned Mine Lands

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03340	Federal Abandoned Mine Land Grant Project File Change Date: 12/8/1988 (V)	This series documents the efforts of the Division to abate or control the adverse effects of past coal mining, in accordance with Public Law 95-87. Funding is acquired by means of a program grant between the Office of Surface Mining and the Cabinet so it can be reimbursed for expenditures associated with the Abandoned Mine Land Reclamation Program. The end result is the protection of public health, safety and general welfare, and protection from dangerous conditions resulting from adverse effects of past coal mining practices. To administer this program, an application is submitted annually to the U.S. Department of the Interior, Office of Surface Mining requesting funding for reclamation of specific projects eligible for Abandoned Mine Land funds. Each grant is established with a three year period for projects to be completed. Funding is awarded to each project in that specific grant by line item (design, inspection, and/or construction). Upon approval of the grant package, each project file is set-up in an individual file. The file is divided into the following sections: (A) reading, (A1) financial, (B) planning, (C) realty, (D) design and (E) construction. Each project file is maintained in the Division on an active status for a period of six years, for easy on-off reference and in compliance with Federal Audit procedures. The information is also retained, as a source for planning further land reclamation activities on adjacent or nearby abandoned mine land and for documentation of activities and accomplishments as information for possible congressional action to extend or modify the program.	Series contains: (A) Reading, contains overall review of project correspondence from beginning to end of project; (A1) Financial, financial reports, contracts for design, inspection and construction and payments for same; (B) Planning, proposed work, eligibility, inventory updates, environmental assessments, general planning branch comments and correspondence. (C) Realty, consent for entry, negotiations, appraisals, property information forms and deed copies (D) Design, progress reports, photographs, negotiations, records with design consultants, plans/specifications for construction, design related reports (E) Construction, progress reports, daily inspections, pay vouchers, bid information, correspondence, Close-out Report.	Agency: 6	Records Center: 19	Archives Center:
				Transfer to the State Records Center. Destroy after audit. NOTE: Retention will be reviewed prior to destruction		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Abandoned Mine Lands

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03341	Federal Administrative Grant File Change Date: 12/8/1988 (V)	This series documents the efforts of the Division to abate or control the adverse effects of past coal mining, in accordance with Public Law 95-87. Funding is accessible by means of a program grant between the Office of Surface Mining and the Cabinet, which provides for the Cabinet to be reimbursed for administrative costs associated with the program. The grant enables the Division to administer the Abandoned Mine Land Reclamation Program which will reduce/eliminate the hazards associated with past mining activities, the end result being the protection of public health and safety, and property from dangerous conditions resulting from adverse effects of past coal mining practices. To administer this program, the Division submits an application annually to the Office of Surface Mining for funding. Each grant is established with a one-year duration. Upon approval of the grants, the Division initiates administrative functions associated with the following: Project monitoring, program planning, inventory revision and update, and executive direction and administration. These activities are for all projects included in the construction grant package. In addition, the Division begins assembling the necessary inventory data, site investigations, environmental assessments, eligibility data and construction estimates for projects that are to be included in the next annual construction grant application. The Grant is maintained in subsections as follows: (A) general correspondence (B) financial reports (C) contractual information (D) equipment and (E) program income. The close-out report is the final financial statement, sent to the federal government, with a copy enclosed in this file.	Series contains: (A) Reading: correspondence, application for funding, amendments, periodic activity reports; (B) Financial reports: monthly expenditure reports; (C) Contractual Information: contracts, payment invoices and change orders for design work or aerial photography. (D) Equipment: contract and payment invoices for equipment purchased under grant; (E) Program income: receipt for funds that off-set federal letter of credit drawdowns	Agency: 6	Records Center: 9	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
03342	Bond Forfeiture Reclamation File Change Date: 12/8/1988 (V)	This series documents the forfeiture of a bond by a coal mining operation, bank, or surety, and reflects the reclamation activities that are undertaken by the Division. As a part of the permit requirements for the disturbance of surface lands, for the purpose of mining coal in Kentucky, an operator is required to post a reclamation bond as surety that the lands will be restored. If the operator fails to restore and reclaim the lands in accordance with Surface Mining laws and regulations, the reclamation bond is forfeited and deposited in a special account, to be used by the Commonwealth to reclaim these lands. The Commonwealth is responsible for administering the contracting process by which these lands are reclaimed and providing the manpower to design and monitor construction. The project files were developed to document the design and construction process and to account for all disbursements of the bond forfeiture funds, and to support a federal audit. Up to the point of forfeiture, this information is handled by the Division of Field Services, Department for Surface Mining Reclamation and Enforcement. Once it becomes a forfeited bond, Division of Abandoned Lands is responsible for the funds that are available by the forfeiture.	Series contains: 1. Correspondence file - bid, work order, contract, letters from any state agency relative to the contract; 2. Invoice file - purchase order authorization for payments, affidavit of final payment, change orders, assignments; 3. Individual permit file information - inter-office memos, photographs, property owner Right to Enter forms, inspection reports	Agency: 10	Records Center:	Archives Center: P
				Transfer to the State Archives Center		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: April 01, 1976

STATE AGENCY RECORDS
RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Conservation

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03455	Watershed Conservation District File Change Date: 6/8/1989 (V)	This series documents the construction, history and rationale for flood control and water and soil conservation projects in the watersheds of specific streams. Watershed is the land area contiguous to or adjacent to and draining into a stream. It is to aid in the channeling and retention of water to minimize peaks and ebbs of water flow. Some water is planned for municipal or recreational use, i.e. a lake. Plans include flood control. The files are retained for reference, response to public inquiries, and documentation for legislative inquiries. The series verifies conditions of the land prior to construction, and afterwards. Portions of each file will be found in the County Conservation District Office.	Series contains: Maps; environmental study or impact statements; photographs (before construction, during and after); bound report describing details of project--cost estimate, cost benefit analysis; statement of need; correspondence; inspector's report; report of acceptance; soil surveys; meteorological data; press clippings	Agency: 5	Records Center:	Archives Center: P Transfer to the State Archives Center
03457	District Loan File - (Accounting of funds used to aid local projects in acquiring equipment) Change Date: 6/8/1989 (V)	This series documents loans extended to and amortized by the County Conservation District Office for the purchase of heavy equipment for use on conservation projects. It also documents work to be done by the equipment purchased. The file provides a record of performance by debtors on loans, aids in preparing quarterly reports for field personnel monitoring loans, and documents the credit history and performance of contractors to whom the district sub-leases equipment. The loans can be extended by the Equipment Revolving Fund administered by the Kentucky Soil and Water Commission for the purpose of making specialized equipment used in soil conservation work available to the County Conservation Districts. The Commission gets the Monthly Fund Balance Sheet (M0029) for review. The normal loan period is 36 months.	Series contains: Loan application; financial statement detailing assets and liabilities of the contractor; a record of the commission vote of approval on the loan; signed loan and sublease contracts; record of filing with the county court clerk of such contracts, purchase orders, statements of title; copies of insurance policies on equipment; monthly summary statements of loan status; correspondence; a transfer of title and statement of satisfactory completion of loan; summary of closed loan (to be retained permanently)	Agency: I	Records Center:	Archives Center: Retain Summary of Closed Loans permanently. Destroy remainder of file five years after closure of loan, and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Conservation

Records Title		Function and Use	Contents	Retention		
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03458	District Treasurer's Report Change Date: 6/8/1989	This series documents revenue, expenditures, payroll and officer's per diem in county conservation districts. The district offices are independent units of government, not an adjunct of the state office. Executives of those offices are elected. They receive some federal, state, and local money, as well as Tennessee Valley Authority funds. Some districts have taxing powers of their own and can secure funds in that manner. The state office retains a copy of each report until audit requirements are met. The Soil and Water Conservation Commission uses this copy, as needed. Audits are conducted at the district level.	Series contains: Monthly single page reports of receipts and expenditures of the County Conservation District Offices	Agency: 3 Destroy after audit	Records Center:	Archives Center:
03459	Conservation District File Change Date: 6/8/1989	This series documents the activities that have taken place in the creating of conservation district offices as a unit of government, and acknowledges those who have helped to create and maintain these offices. Very little material is now created. The series contains the original petitions of citizens requesting the creation of the conservation district as a unit of government in their county. (There is an office in every county.) It includes petitions for all candidates for the elected offices in these districts, certification of the results of the elections, certification of the administration of the oaths of office to commission officers, copies of legal advertisements in county newspapers of record announcing such elections, and letters of notification of interim appointments to fill emergency vacancies. There is very little reference to this material, except occasional inquiries on various activities of the local district offices.	Series contains: Petitions (of requests for creation of conservation office and for candidates for these offices); certification of elections and oaths of officers; copies of newspaper advertisements announcing elections; letters and correspondence	Agency: 2 Transfer to the State Archives Center	Records Center:	Archives Center: P

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: April 01, 1976

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Energy and Environment Cabinet
Natural Resources
Forestry

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
99	State Forests File		Includes plats, agreements, and copies of deeds	Agency: 10	Records Center:	Archives Center: P
				Transfer to the State Archives Center		
100	Survey Maps of State Forests and Adjacent Lands			Agency: 10	Records Center:	Archives Center: P
				Transfer to the State Archives Center		
03639	U. S. Forest Service - Forest Survey Aerial Photographs Change Date: 6/14/1990	This series documents an aerial survey of the Kentucky forest resources compiled and completed by the U.S. Forest Service, U. S. Department of Agriculture, in cooperation with the Division of Forestry, Kentucky Department of Natural Resources. The Division of Forestry contracts with the U.S. Forest Service to have the aerial photographs taken. From these photographs, "The Forest Resources of Kentucky," a federal publication is created. The photographs, in conjunction with the publication, provide a researcher with a fuller understanding of the forest survey. The photographs do not identify a forest. They basically serve as raw data. The photographs aid in determining, for example, how much of a county is timberland. Unless one is familiar with a county (roads, rivers), the photographs, by themselves, will not provide much information. Surveys are completed every ten years, taking approximately two years to complete. *There is little, if any, accumulation once a forest is photographed.	Series contains: Photographic prints of Kentucky forests	Agency: I	Records Center:	Archives Center: P
				Transfer to the State Archives Center after the completion of each U.S. Forest Survey		
103	Cooperative Forest Management File - (Federal-State program)			Agency: I	Records Center:	Archives Center:
				Review and screen in 1980 for final disposition		
104	Forestry Incentive Program - (Federal-State program)			Agency: I	Records Center:	Archives Center:
				Review and screen in 1980 for final disposition		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
105	Watersheds File - (Federal-State program)			Agency: 1	Records Center:	Archives Center:
				Review and screen in 1980 for final disposition		
106	Pest Control File			Agency: 1	Records Center:	Archives Center:
				Review and screen in 1980 for final disposition		
107	Reforestation File			Agency: 1	Records Center:	Archives Center:
				Review and screen in 1980 for final disposition		
110	Forest Warden Citations File			Agency: 20	Records Center:	Archives Center:
				Destroy		
111	Forest Fire Control Record File			Agency: 10	Records Center: 10	Archives Center:
				Transfer to the State Records Center. Screen before destruction		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: September 09, 1993

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Energy and Environment Cabinet
Natural Resources
Mine Permits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04332	Surface Mining Permittee Ownership File (V)	This series documents the ownership of permittees of surface coal mining and reclamation operations in the Commonwealth, as required in KRS 350.060 (3)(g). The regulations require that all owners, officers, directors, and shareholders owning ten percent or more of a company's stock be identified. When a change occurs, appropriate notification must be provided to the Department. The records are reviewed by the Department to ensure that an applicant is and remains eligible to receive and operate a permit to mine coal in Kentucky.	Series contains: Permittee information for a mining permit; operator information for a mining permit; update of permittee or operator information; change of corporate owners, officers, or directors; application to transfer a mining permit; revision application to change operator; correspondence	Agency: I	Records Center:	Archives Center: P Transfer to the State Archives Center ten years after closure of ownership file
04333	Surface Coal Mining and Reclamation Operations Permit File (V)	This series provides the documentation allowing or permitting a company to surface mine coal in Kentucky. Under the terms of KRS 350.060, no one is to undertake surface coal mining and reclamation operations without first having obtained a permit designating the area of land to be affected by mining. A permit authorizes mining activities upon the area of land described in the application for a period not to exceed five years, which under specified conditions may be extended, revised, or amended. A permit must reflect the individual desiring to engage in surface mining operations, the owner(s) of the land to be affected by the operation, the owner(s) of the area adjacent to any part of the affected area, a description of access to the area from the nearest public highway, other permits held by the permittee, names and addresses of all company officers, and those owning 10% or more stock in the company, among other important documents and maps. The file identifies any violations, penalties, and resolution of any violations. It reflects proof of insurance, detailed plans or proposals showing the method of operation, and includes hydrologic consequences of the mining and reclamation operations, both on and off the mine site. The permit will not be approved until all information is available and incorporated into the application.	Series contains: Application; reclamation plan and method of operation; receipt for bonds; permit; planning report; inspector's release form; correspondence; annual report; notice of non-compliance, if applicable; topographical maps; amendments/revisions to permit; legal documents supporting the mining operation; names/addresses of officers, directors, partners with stock in coal operation; proof of liability insurance	Agency: I	Records Center:	Archives Center: P Transfer to the State Archives Center ten years after release of bond

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Permits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04042	Small Operator Assistance Program Project File (V)	This series documents the determination of eligibility of an applicant for aid in acquiring a Surface Mining permit. It documents the activities and costs associated with obtaining data for a mining permit, as well as the maintenance of the project. Pursuant to PL 95-87, the Commonwealth of Kentucky, through the Natural Resources and Environmental Protection Cabinet, Department for Surface Mining Reclamation and Enforcement, has established a Small Operator Assistance Program (SOAP). This program operates through a grant from the Office of Surface Mining, U.S. Department of the Interior. SOAP can help small coal operators in obtaining a mine permit by: 1) providing a site specific monitoring proposal for the collection and analyses of required geologic and hydrologic background data; 2) contracting qualified consultants to collect and analyze the hydrologic data for a proposed mine site, and interpret that data to determine the probable hydrologic consequences (PHC) of planned mining activities; 3) contracting qualified well drillers to construct and develop ground water monitoring wells when required; 4) contracting qualified consultants to collect and analyze the geologic data for the proposed mine site and interpret that data in a Statement of Results. The PHC and Statement of Results are required in order to obtain a mining permit.	Series contains: Contract applications and eligibility review of records; estimate of cost data and award of project notification; invoices; correspondence and status reports; technical data (lab analyses data-geological and hydrological)	Agency: I	Records Center: 9	Archives Center:
				Transfer to the State Records Center one year after closure of the project. Destroy after audit		
04043	Consultant's Geological and Hydrological Report (V)	This series documents existing conditions of the land area to be disturbed by surface mining. It defines and describes the surface of the area (ground and water) that may be included on or around the site to be mined. It provides a measure for monitoring the land/water conditions after mining. The data are valuable to the applicant (small coal operator) providing him with the geological strata of the area. The data are a requirement for baseline data in issuing a surface mining permit. The consultant(s) is paid by the Department (state funds), and reimbursed (100%) from the Office of Surface Mining, U.S. Department of the Interior. The Environmental Protection Agency receives surface and ground water information collected in the administration of the permit process. Also, the file provides data for regional ground water and surface studies.	Series contains: Maps; probable hydrologic consequences determination; data tables; checklists; geology (sampling data); raw data; strata (that will be disturbed); soil information	Agency: I	Records Center:	Archives Center: P
				Transfer to the State Archives Center three years after permit is issued		
04044	Consultant File	This series documents those civil engineering firms (geological, hydrological, or environmental) and laboratories (water/soil) that have met federal requirements to participate in the Small Operator Assistance Program (SOAP). Each of these groups have particular requirements and standards that must be met in order to participate and continue service with SOAP. The engineering firms are on personal service contracts, renewed annually providing they still meet the necessary criteria. Laboratories are administered similarly, however, they currently have to meet testing requirements semi-annually.	Series contains: Correspondence; submittal of qualifications; audits (if existent); quality control sheet (verification of qualifications); renewal information (identification of SOAP staff, changes in procedures/capacity)	Agency: I	Records Center:	Archives Center:
				Destroy five years after termination from the program, and audit		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: April 01, 1976

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents			
04199	Company Enforcement File Change Date: 9/12/1991 (V)	This series documents the inspection and enforcement activities of the Department. As provided for in KRS 350.465 (2), the Natural Resources and Environmental Protection Cabinet (NREPC) has the responsibility for regulating the Surface Mining Control and Reclamation Act of 1977. To that end, the Department oversees compliance activities of state and federal laws, with routine monthly inspections of the permit "contracts." It monitors the terms of the original permit, as approved by the Division of Permits or any amendments to that permit. With any inspection where violations are observed, a Notice of Non-Compliance and Order for Remedial Measures is completed. The violations must be corrected within a reasonable time period, normally up to 90 days for the abatement of the violation, otherwise an Order for Cessation and Immediate Compliance is issued. These forms will specify in what respects the operator has failed to comply with the law(s), the remedial action required, the time period established for abatement, and a brief description of the portion of the mining site to which the Notice or Order applies. Ultimately, violations are brought before a Hearing Officer to ensure enforcement of mining and reclamation regulations by Agreed Order or Secretary's Order. The permit may be revoked or suspended, and the performance bond may be forfeited to the cabinet. Sites that have been mined once may be re-opened and mined again.	Series contains: Citizen's complaint; inspection report; notice of non-compliance and order for remedial measures; order for cessation and immediate compliance; issue sheet (copy) of permit conditions, terms, dates, bond information; agreed order (copy); correspondence; photographs; inspector's violation statement (for abatement); proposed penalty assessment	Agency: 20	Records Center:	Archives Center: P
				Transfer to the State Records Center		
04200	Notice of Coal Exploration File (C) KRS 350.057 (2) (coal quality, thickness) Change Date: 12/10/1992	This series documents those companies requesting approval for coal exploration operations. The notice provides a description of the area to be explored and the period of exploration, and provisions for reclamation of all land disturbed in the exploration. Exploration is often done on properties acquired through other purchases or is yet unmined/unexplored land. This type of mining activity helps a company determine the thickness or quality of the coal. It enables a company to amend a current permit or apply for a new one should it decide to pursue further mining activities in that area. The notice allows a company to mine not more than 25 tons. The series is used when subsequent applications for permits are requested. *Reference will be dependent on outstanding enforcement actions or decisions to expand mining activities. NOTE: Information from this series is also stored in the Surface Mining Information System (NOS), maintained for tracking purposes.	Series contains: Exploration number; county, county identification number; company name, address, representative(s) responsible for exploration activities; location of proposed operation; name/address of surface owners of mine site; name of mineral owner of site; purpose for exploration; method for exploration; removal of coal - yes/no; coal to be tested/sold; need for blasting?; time period for exploration and reclamation to begin/end	Agency: I	Records Center:	Archives Center: P
				Transfer to the State Records Center after final disposition of all inspection activities, including completion of reclamation		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04201	Blaster Certification File Change Date: 12/10/1991 (V)	This series documents that those applicants who practice blasting operations have met all training, licensing, and certification requirements of the Department. The Department of Mines and Minerals issues licenses to persons who use explosives and work in blasting operations. Under the terms of KRS 351.315, a blaster must have at least 18 months of training under the supervision of an experienced blaster (24 months for underground mines), and pass an examination testing the examinee's practice of blasting, storage, moving, handling and detonation of explosives. The certification is renewed every three years with the Department of Surface Mining. It is the responsibility of the Department to maintain the certification file for blasters working with surface mining operations. Each permittee using explosives at a mining operation must have a certified blaster on site when blasting. Each blaster is responsible for ensuring that the blast site is secure. Also, a blaster must maintain for a period of at least three years and make available for public inspection a log describing the details of each blast. Some companies employ their own blaster(s), or they may be hired on a contract basis.	Series contains: FIRST TIME - Application for blaster certification (name, address, social security number, driver's license number, date of birth, place of employment, name of agency, institution, company from which training was received, signature/date, date applicant tested for certification, verification from mines and minerals, test score, certificate number, issuance date); attached--two letters of reference, certified check/money order for licensing fee; other correspondence; enforcement actions, if any; FOR RENEWAL - statement of experience from a reference or supervisor; notary	Agency: I	Records Center:	Archives Center:
04202	Bond Release File Change Date: 12/10/1992 (V)	This series documents the successful reclamation of mining sites, under the efforts of a coal operator/company, and the three phases of bond release and bond substitutions that support reclamation activities. As required in KRS 350.060, a minimum bond of \$10,000 is filed with the agency at the time a Permit File (04333) is processed. The bond amount is dependent upon the faithful performance of the laws that regulate surface mining and reclamation. In determining a bond amount, the Department considers the character and nature of the future use of the land and the cost of backfilling, grading, topography, revegetation potential, etc. The bond amount is computed to be sufficient to assure and complete reclamation should the work have to be performed by the Department in the event of forfeiture. Reclamation is completed in three phases. In Phase I, once the operator completes the backfilling, regrading, and drainage control of a mined area, sixty percent of the bond is returned to the coal operator. Two years after the operator has completed Phase I and revegetation has been established (Phase II), all but fifteen percent of the bond may be released. When the operator has completed all surface coal mining and reclamation activities (Phase III), the remaining portion of the bond is released. This means all roads have been removed, trees are growing, and post-mining land uses are reestablished.	Series contains: Copy of bond; bond release forms; correspondence; (green) cards notifying land owners of work; substitutions; application for bond release; calculation page (determining amount of bond return); newspaper advertisements notifying the public of bond release; maps of affected area; field inspection documentation; video tapes; complaints; request for hearing (possibly)	Agency: I	Records Center:	Archives Center: P
				Transfer to the State Archives Center five years after release of bond. NOTE: Transfer file to the Bond Forfeiture File (04203) if permittee defaults bond. Original bond is returned to issuer upon release		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04203	Bond Forfeiture File Change Date: 12/10/1992 (V)	This series documents the forfeiture of bonds due to a permittee defaulting. A bond amount is determined so as to be sufficient to assure completion of reclamation in case the work has to be performed by the Department. The permittee may default at any phase of the reclamation process. A coal operator will receive a Notice of Non-Compliance. Following the hearing process and a Secretary's Order, an amount of forfeiture is computed, and the Department becomes the "owner" of the balance of the bond. The series will then be transferred to the Division of Abandoned Lands for completion of reclamation.	Series contains: Copy of bond; correspondence; notice of non-compliance; agreed order(s); hearing officer report(s)	Agency: I	Records Center:	Archives Center:
				Merge file with Bond Release File (04202) if reclamation is completed by bank or surety. If reclamation is completed by Division of Abandoned Lands, destroy after ten years		
04204	List of Bond Forfeitures Change Date: 12/10/1992	This series documents and identifies coal companies whose bonds have been forfeited and collection has been made. It reflects which sites were forfeited, the dollar amounts (sureties, banks), and the acreage forfeited. The agency uses this information for fiscal year reports to the federal Office of Surface Mining. It is also used for legislative research in development of policy and administrative regulations.	Series contains: Bonds forfeited, mine sites, acreage, dollar amounts, type of bond(s), county, date, principal office of coal operation	Agency: P	Records Center:	Archives Center:
				Retain in agency		
04205	Surface Mining Investigative File Closed Date: 12/31/1996 (C) KRS 61.878 (1) (h) (i) Change Date: 9/30/1998 (V)	Closed Series: This series documented investigative activities of (suspected) illegal mining operations. Under the terms of KRS 350.052, the special investigations officers were empowered to arrest, without a warrant, any person detected to be violating the provisions of KRS Chapter 350. Violations of the chapter constitute criminal offenses. The investigators can seize and take possession of any property and equipment willfully and knowingly used in the mining of coal without a permit or used for the removal of more than 25 tons of coal for commercial purposes during coal exploration. If convicted, the court can order machinery, trucks, and other equipment forfeited sold at public auction. When an arrest was made and sufficient evidence gathered to prosecute violators, the evidence was presented to the appropriate Commonwealth's Attorney for a grand jury hearing. If an indictment was not returned, the file was closed. If an indictment was returned, the information was transferred to the Surface Mining Criminal Case file (04206). This series is cross-referenced with records in the Revenue Cabinet and the Department of State Police. NOTE: This series also was stored on a PC application for the purpose of tracking case files. As the Special Investigation unit no longer exists, activities are handled through the Enforcement unit.	Series contains: Name of persons involved, equipment, location, machinery, pictures, audio/video tapes; offence report; narrative supplement; updates or closure; and correspondence	Agency: I	Records Center: 15	Archives Center:
				Transfer to the State Records Center ten years after closure of case. NOTE: If a grand jury indictment is returned, transfer to Surface Mining Criminal Case File (04206)		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04206	Surface Mining Criminal Case File Closed Date: 12/31/1996 (C) KRS 61.878 (1) (h) (i) Change Date: 9/30/1998 (V)	Closed Series: This series documented all information and evidence relative to an illegal mining operation, and was created when the grand jury returned an indictment as a result of an investigation (Surface Mining Investigative File - 04205). It was an extension of the investigative file and served as a working file for the enforcement officers, through the adjudication process. The State Police provided the Department with other documentation, as required or requested. The Commonwealth's Attorney's Office in the jurisdiction where the case was prosecuted served as the state's legal representative. The Special Investigations Unit no longer exists. The Cabinet's Department of Law is responsible for handling all such cases. NOTE: Information from the series also was stored on an in-house PC application for the purpose of tracking case files.	Series contains: Evidence supporting cases such as photographs, equipment, audio-video tapes, etc.; correspondence; and uniform offense report, from Department of State Police	Agency: I	Records Center: 15	Archives Center:
				Transfer to the State Records Center ten years after case closure		
04207	Non-Coal Permit File - (May include sand, gravel, stone, clay, rock asphalt) Change Date: 12/10/1992 (V)	This series documents all licensing, permitting, and enforcement of non-coal mining activities in Kentucky. This type of mining is strictly run by the state of Kentucky. It is not a federally regulated or funded program. An operating permit of this sort is generally one that will be in effect for a long period of time. Under the terms of 405 KAR 5:010, any person, partnership or corporation desiring to operate a clay mine (fluorspar, sand and gravel, stone, rock asphalt, pits or quarries) through a surface mining process, must first obtain a license. All enforcement actions are the same as with the mining of coal.	Series contains: Application for license; correspondence; inspection reports; bond information/release; reclamation licensing, renewals; amendments to permit	Agency: I	Records Center:	Archives Center: P
				Transfer to the State Archives Center five years after release of permit		
03336	Aerial Overflight Videotapes Change Date: 12/8/1988 (V)	This series documents a visual record of mining and reclamation permits. It shows the condition of mine sites at the time of videotaping, the disturbance of the land and/or reclamation action. These tapes are a result of a lawsuit by the National Wildlife Federation alleging a "systematic breakdown" in Kentucky's enforcement of the 1977 federal strip mine law. In an effort to remedy these violations, the state has promised to fly over and videotape 1,800 strip mines a year, after which state officials (and plaintiffs of the suit) would review the tapes and cite coal operators for violations missed during regular ground inspections. The inspectors' reports of the videotapes are compiled, documented and summarized in the Aerial Overflight Documentation File (03338). Due to the vast amount of ground space, site permits to be taped, and the amount of money invested, this project hopes to continue after the three year time period is complete. Mine sites will change as weeks and months go by, so areas will continuously be taped for review, plus the technology now available hopes to serve as a preventive measure for future violations. * 807 sites have been videotaped of 1,800, so it will be approximately a little more than twice of what has currently been taped.	Aerial view of mine sites	Agency: 3	Records Center:	Archives Center: P
				Transfer to the State Archives Center		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03337	Aerial Overflight Permit File Change Date: 12/8/1988 (V)	This series documents the on-screen or taped conditions of each mine site and related enforcement documents. It is completed by field inspectors. The field offices complete the forms and send the originals to the central office in Frankfort for review, to help gain an understanding of the overall conditions of mine sites. The forms are reviewed with the videotapes (Aerial Overflight Videotapes 03336) simultaneously. This series provides the "story" of the mine site while the videotapes provide the visual evidence of the pieces of land, along with 35mm photographs. The file provides information on all activities related to the enforcement process. A description of the violations is completed and made available to the coal companies for their review and to make efforts to correct problems. In extreme cases, a cease order may be made for all work to stop at a mine site. Sometimes the damage is irreversible. The monthly and quarterly reports are summaries of work efforts and status reports. They do not provide individual attention to work done with specific coal companies or particular mine sites. That is what helps to make the Aerial Overflight Permit File (03337), as well as the other Aerial Overflight series crucial. *807 files **There will be 1 file/permit or mine site.	Series contains: Aerial Overflight Video Review Form, (company name, permit number, mine type, mine status, parent violation, review recommendation, videotape reviewed by) Aerial Overflight Follow-up Inspection Form (company, permit number date, follow-up inspection results, summary of field observations, action taken by, reviewed by) Mine Inspection Report - Permanent Program (company, permit, acres permitted/bonded, status, non-compliance, checklist of standards, description of changes since last inspection, signature of inspector(s), administrator)	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center
03338	Aerial Overflight Documentation File Change Date: 12/8/1988 (V)	This series provides documentation of the Aerial Overflight Videotapes (03336), also the name of the regional office and exact location of the mine sites within the region. Two forms are used to complete this record. The first is the Flight Record. This sheet provides a working order of the flight. Dates, flight number, name of the coal company, permit number (of coal company), latitude and longitude of location is filled out before the flight begins. The rest is completed during the flight while videotaping is taking place. The inspector sits up front in the helicopter with the pilot to direct him to the site. The photographer and recorder sit in back. The recorder completes the flight record, recording tape times for each permit and any pertinent comments relating to the flight. The Aerial Overflight Tracking Form is a summarization of the Flight. It notes specific conditions of a mine site, i.e., full compliance, previously cited, reinspection. A copy of the form is sent to the National Wildlife Federation for their review. For the Division of Field Services, these two forms function together to provide necessary information on the mine sites. The video tapes serve their purpose before and after this information is available.	Series contains: Date of flight, flight number, name of inspector, name of region, cassette number, recorder, total time of flight, helicopter number, pilot name, camera number, name of coal company, permit number, latitude, longitude, time-on, slate, mine status, comments, reviewed by (initials), date of review, review results, reinspection (if applicable), reinspection date, results of reinspection	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04785	On-Site Construction Permit File - (Permits issued to mine coal incident to a construction project) Closed Date: 12/31/1982 Change Date: 9/30/1998	Closed Series: This series documented permits issued to mine surface coal incident to a construction project. It provides a historical record of land disturbances. The series also was used in the event the permit holder did not fulfill reclamation requirements, or by the Division of Abandoned Lands, if particular land disturbances could be related to current projects. The Division of Abandoned Lands controls state and federal funds which can be used to repair problem areas, as a result of previous coal removal. It is not unusual for 20 or 30 years to pass before the need to utilize a file such as this one occurs.	Series contains: Application/request for permit; map of disturbance; deficiency letters; approval letters; enforcement records; and related correspondence	Agency: 0	Records Center: P	Archives Center: P
Transfer to the State Archives Center						
04786	Interim On-Ground Study File - (Documents inspections of mine sites for permits issued between 1977 - 1982) Closed Date: 12/31/1991 Change Date: 9/30/1998	Closed Series: This series documented inspections of permits (mine sites) issued during the period 1977 to 1982. This span of years is known as the interim period, because it was the period of time that the department was given to come into compliance with the federal act relating to the issuance of permits, as a result of litigation brought against the state of Kentucky and the federal Office of Surface Mining by the Wildlife Federation. Prior to 1977, states could adopt their own regulations on the issuance of permits and enforcement requirements. The inspections were required to determine which sites were in compliance with regulations, for the purpose of releasing bonds related to liability for reclamation.	Series contains: Photographs; copy of mine inspection report; enforcement documents; and related correspondence	Agency: 0	Records Center: 10	Archives Center:
Transfer to the State Records Center						
04787	Unabated Cessation Order Study File - (Documents extent of violations related to cessation orders) Closed Date: 12/31/1991 Change Date: 9/30/1998	Closed Series: This series documented that violations related to unabated cessation orders continued to exist. An unabated cessation order requires immediate compliance to correct violations. If violations are not corrected during the period allowed, coal removal can be stopped, additional penalties can be assessed, permits can be blocked, bonds can be forfeited and individual civil penalties can result. The need for the study resulted from litigation brought against the state of Kentucky and the federal Office of Surface Mining by the Wildlife Federation. Information from the study was used to cause the creation of ownership and control regulations. Although federal law provided for promulgation of regulations regarding ownership and control, they were not adopted until after settlement of the Wildlife Federation lawsuit.	Series contains: Copy of cessation order; reporting data form; photographs; notice of non-compliance; and correspondence tracking form	Agency: 0	Records Center: 10	Archives Center:
Transfer to the State Records Center						
04788	Pre-Walk Study File - (Documents inspections of land related to mining permits not approved) Closed Date: 12/31/1991 Change Date: 9/30/1998	Closed Series: This series documented inspections of land related to mining permits which had not been approved. The need to do the inspections, which are called pre-walks, resulted from litigation brought by the Wildlife Federation against Kentucky and the federal Office of Surface Mining for failure to enforce permit regulations. A walk sheet contains a series of questions which each inspector must respond to when inspecting the site. The purpose of the inspection was to determine adequacy of mine plans, to document topographical features of the land and prior land disturbances. The inspections had already been completed but as part of the settlement agreement, Kentucky agreed to re-inspect the sites.	Series contains: Photographs; walk sheet; and maps	Agency: 0	Records Center: 10	Archives Center:
Transfer to the State Records Center						

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Field Services

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04789	Two-Acre Study File - (Documents inspections of mine sites for compliance with two-acre law) Closed Date: 12/31/1991 Change Date: 9/30/1998	Closed Series: This series documented inspections of land related to two-acre mining permits. The need to complete the study resulted from litigation brought by various environmental groups over abuse of the two-acre law. As part of the settlement agreement, all two-acre sites in Kentucky, Virginia and Alabama were inspected. Reclamation requirements were less stringent for two-acre parcels and abuses resulted. Also, the inspections identified whether two or more parcels met relatedness criteria, which means that the owners of the parcels had some relationship to each other; for example, two people in the same family buying parcels next to each other, but under different names. The purpose of the inspections was to take enforcement action, if acreage was exceeded. This series evolved into Series Number 04785, On-Site Construction Permit File. The two-acre law has been repealed.	Series contains: Copy of application for two-acre permit; enforcement documents; measurements; photographs; correspondence related to ownership, time and distance. May include copies of documents from the Department of Mines and Minerals; copies of leases; and copies of contracts	Agency: 0	Records Center: 25	Archives Center:
				Transfer to the State Records Center		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: August 01, 1979

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
01264	Fatal Mine Accident Reports		related correspondence	Agency: P	Records Center:	Archives Center:
Retain in agency						
01265	Examination Grades and Certification of First and Second Class Mine Foreman	Detailed ledger record		Agency: P	Records Center:	Archives Center:
Retain in agency						
01266	Mine Foreman and Inspectors Examination Application Folders - (Contains application data and related correspondence) Change Date: 6/14/1990	This series documents the application file for individuals applying for the positions of mine foreman, assistant foreman, inspector, or assistant inspector. Any person with five years mining experience for foreman and inspector, or three years experience for the assistant foreman and inspector positions must submit an application to the Department of Mines and Minerals. An applicant's experience before the age of 18 does not count. In addition, an affidavit is submitted, signed by a co-worker, which states that they have worked with the person and that he has the required experience. If qualified, the applicant must then take an examination. If the applicant passes the examination, he is then certified.	Series contains: name; social security number; date of birth; address; mining history; whether underground or surface; application; affidavit; correspondence	Agency: 10	Records Center: 10	Archives Center:
Transfer to the State Records Center						
01267	Index to Mine Foremen Certificates - (Card file)			Agency: P	Records Center:	Archives Center:
Retain in agency						
01268	Index to Clay and Coal Mine Maps - (Card file)			Agency: P	Records Center:	Archives Center:
Retain in agency						
01269	Maps of Mines - (Active and abandoned)			Agency: P	Records Center:	Archives Center:
Retain in agency						

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
01270	Special Mining Permit Ledger			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01271	Special Mining Permit Folders		permits, special maps, request for permit and supporting documents	Agency: P	Records Center:	Archives Center:
				Retain in agency		
01272	Safety Violation and Accident Correspondence			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01273	Annual Completed Report Cards From Coal Mine Operators		statistical data	Agency: P	Records Center:	Archives Center:
				Retain in agency		
01274	Mine Inspection History Books		Entries made in factor compliance as a check on mine violations	Agency: P	Records Center:	Archives Center:
				Retain in agency		
01275	Index to Mine Inspection Reports Prior to 1952 - (Locator cards)	Filed by inspector's name		Agency: P	Records Center:	Archives Center:
				Retain in agency		
01276	Annual License Fee Receipt Ledger			Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
01277	Mine License File - (Includes copy of license and inspection reports) Administrative Change Date: 11/1/1986 To effect title change (V)	This series documents a working file for mining companies (individual mines) during their working period. It contains all related information concerning mining operations. As provided for in KRS 351.175, any owner operator, or lessee who assumes control of a mine, opens a new mine, or reopens an abandoned mine during any calendar year must obtain a license before mining operations can begin. It provides that the licensing requirements of the Department of Mines and Minerals have been met by the applicant. It also documents that the mine has been properly inspected by the Department, and that a transportation plan specifying the legal weight limits for each portion of highways or bridges that minerals are transported on has been developed. The file is established to monitor all mining activities associated with a particular mining operation. Inspection reports are included in the series. *Records are stored in the State Records Center.	Series may contain: license application; partnership agreement; inspection reports; analyst reports (underground mines only); abandoned ship (if any); copies of annual tonnage reports; special permits; permits for additional openings; related correspondence	Agency: 5	Records Center:	Archives Center: P
				Transfer to the State Records Center		
01279	Federal Inspection Reports			Agency: 5	Records Center:	Archives Center: P
				Screen and remove duplicates. Transfer remaining reports to the State Archives Center		
01280	Examination Work Papers			Agency: I	Records Center:	Archives Center:
				Destroy after grade recorded and approval of Board		
01281	Mine Address and Data - (Addressograph plates)			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
01282	Field Inspector's Monthly Vehicle Expense Report - (VE-1)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing
District Offices

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
01298	Vital Facts on Mine Operators - (Index card)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01299	Mine Maps - (Duplicate)			Agency: I	Records Center:	Archives Center:
				Destroy after annual updated maps are prepared		
01300	Fire Boss Weekly Reports			Agency: 3	Records Center:	Archives Center:
				Destroy		
01301	Loose-leaf Record of Safety Violations			Agency: 3	Records Center:	Archives Center:
				Destroy		
01302	Mine Inspection Folder Containing Copy of License - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
01303	Inspectors Weekly Report - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
01304	Vehicle Expense Reports - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
03398	Radio Log Change Date: 3/1/1989	This series documents the time of initial daily radio contact and locations (s) visited by the inspectors, analysts, and instructors working out of the six district offices of the Department of Mines and Minerals. The information provides a means of maintaining contact with personnel at any time during the work day, should it become necessary.	Series contains: date (Monday - Friday); sign-in time; unit number; destination or location; subject; sign off time	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing
Explosives and Blasting

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents			
01291	Licensed Blasters Affidavit File			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01292	Ledger of Licensed Blasters			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01293	Ledger of Relicensed Blasters			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01294	Night Blasting Permit List			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01295	Examination Ledger			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01296	Examination Answer Sheet			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01297	License Renewal Forms			Agency: 1	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing
Explosives and Blasting

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03268	Weekly Inspection Report Change Date: 6/1/1988 (V)	This series documents the daily activities of the Department's blasting inspector on any blasting that is performed at a mining area or road construction project. It records the inspector's activities before, during and after each blasting job on a daily basis. This is the only official document of the activities pertaining to the blasting job (i.e. damage to personal property, injury etc.) and is used in the event of litigation. Once a suit has been filed, the Department may have to go back to the beginning of the series for that specific blasting job. The Federal Office of Surface Mining (OSM) audit would state that the inspector complied with the rules and regulations. However, the audit does not provide specific information about the activities of the inspector at the blasting site.	Series contains: name of inspector; date time ; location; activities; hours worked under program agreement; signature of inspector	Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing
Safety Analysis, Training, & Certification

Records Title Series and Description		Function and Use	Contents	Retention Disposition Instruction		
01305	Inspection Report			Agency: 5	Records Center: P	Archives Center: P Transfer to the State Archives Center
01306	Fatal Mine Accident Reports			Agency: P	Records Center:	Archives Center: Retain in agency
01307	Safety Violation and Accident Report			Agency: P	Records Center:	Archives Center: Retain in agency
01308	Monthly Vehicle Expense Report			Agency: 3	Records Center:	Archives Center: Destroy after audit
03030	Miner Certification Application - (DMM-1) (EG-35) - (Contains personal data, qualifying employment information, certifications, and affidavit) Change Date: 9/1/1985 (V)	This series initiates the process by which a miner is certified to work in an underground mine. Certification means that the individual possesses all necessary qualifications and has passed the required examination (KRS 351.120).	Series contains: employment background; identification number of miner certification; training information; personal information; specialty codes denoting certification	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center
03031	Miner Certification Affidavit - (DMM-2) (EG-35) (Ninety - day examination) Change Date: 9/1/1985 (V)	This series certifies that an inexperienced miner has had ninety days or more of mine experience, for issuance of a temporary permit.		Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing
Safety Analysis, Training, & Certification

Records Title Series and Description		Function and Use	Contents	Retention Disposition Instruction		
03032	Miner Certification Affidavit - (DMM-3) (EG-35-A) Change Date: 9/1/1985 (V)	This series documents that a miner has a valid certification. It also documents that the miner has one year of mine experience within the past three years of being certified.	Series contains: personal data; education; work experience; occupations miner qualifies for; reinstatement certification application	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center
03033	Student Mining Technology/Engineering File - (Contains Affidavit (DMM-S3) (EG-30) and Personal Data Sheet (DMM-T3) (EG-29)) Change Date: 9/1/1985 (V)	This series documents the information required for a mining student in college to apply for a permit to work in an underground mine while in school. The information is provided by the colleges to show that the student applying is in school and in the mining program.	Series contains: name of director; name of university; name of student; title; date; personal data sheet on student; letter from school; instructor of class; grades attached	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center
03034	XYZ File - ((X) Mine Operator Affidavit, (Y) Retraining Certification, And (Z) Miner Occupation Certification) (Certifies re-training or annual training required for renewal of certification) Change Date: 9/1/1985 (V)	This series documents the Mine Operator Affidavit (X), Retraining Certification (Y), and Miner Occupation Certification (Z). It is used to substantiate and certify retraining or annual training for certification renewal.	Series contains: Mine Operator Affidavit (X); Retraining Certification (Y); Miner Occupation (Z)	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center
03035	Class Enrollment Record - (EF-6) - (Contains information as to type of class attended, personal data, miner identification number, etc.) Change Date: 9/1/1985 (V)	This series documents that each miner has been retrained during the past year. As required in KRS 351.106, each certified miner shall receive at least eight hours of retraining and reeducation. All training and education required by KRS Chapter 351 is conducted in classrooms, on the job, or in simulated mines.	Series contains: signature; state certification number; miner identification number; name; social security number; mailing address; underground; surface; state file number; federal identification number; year of training; card expiration; class number	Agency: 3	Records Center:	Archives Center: P Transfer to the State Archives Center

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety and Licensing
Safety Analysis, Training, & Certification

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03036	Miner Certification Examination and Permit Log Change Date: 9/1/1985 (V)	This series represents the cover sheet used to document information on each miner who takes the examination and is issued a permit.	Series contains: name of miner; certification number; permit number; social security number; comments; passed or failed; in state or out-of-state	Agency: 3	Records Center:	Archives Center: P
				Transfer to the State Archives Center		
03037	Forty-Eight Hour Inexperienced Miner Training File - (Contains Affidavit (DDM-S1) (EG-4) and Personal Data Sheet (DMM-T1) EG-3)) Change Date: 9/1/1985	This series documents the forty-eight hour training of miners as required by the Department of Mines and Minerals. All new miners wanting to work in the mines must acquire forty-eight hours of instruction.	Series contains: personal data sheet; affidavit; instructor; list of miners in class; permit	Agency: 3	Records Center:	Archives Center: P
				Transfer to the State Archives Center		
03038	Temporary Permit Extension Form - (EG-38) - (Contains personal data sheet on person requesting temporary inexperienced miner's work permit extension) Change Date: 9/1/1985 (V)	This series documents a personal data sheet for an individual requesting a temporary extension to an inexperienced miner's work permit.	Series contains: personal data sheet; date of temporary permit	Agency: 3	Records Center:	Archives Center: P
				Transfer to the State Archives Center		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: August 01, 1979

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Energy and Environment Cabinet
Natural Resources
Oil and Gas Conservation

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
01283	Well Permit Documents		permit, diagrams, and related correspondence	Agency: P	Records Center:	Archives Center:
				Retain in agency		
01284	Indexes to Well Permit Documents		Locator cards and microfilm code numbers to microfilmed documents	Agency: P	Records Center:	Archives Center:
				Retain in agency		
01285	Violation Reports			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01286	Hearings on Disputes			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01287	Maps of Secondary Recovery Projects			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01288	Vacuum Pump Permits			Agency: 5	Records Center:	Archives Center:
				Destroy		
01289	Field Inspector's Weekly Report on Wells			Agency: 3	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Oil and Gas Conservation

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
01290	Weekly Lists of Permits Issued			Agency: 1	Records Center:	Archives Center:
				Destroy		
03703	Bond Cards Closed Date: 1/1/1985 Change Date: 9/13/1990	Closed series: This series was created to track the posting of bonds by oil and gas well operators, to ensure that the wells were plugged once empty. An operator's bonds were used to pay someone else to plug wells, if they were not closed properly.	Series contains: operator name; address; permit number; date issued; county; location; reminder letter; lease name; well number; completion log received; affidavit received; completion of inspection; plug date; recorded	Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Beautification - Wild Rivers

Records Title		Retention	
Series	and Description	Function and Use	Disposition Instruction
157	Maps	Beautification - Wild Rivers	Agency: 5 Records Center: Archives Center: P Transfer to the State Archives Center
158	Violation Report File		Agency: I Records Center: Archives Center: P Transfer to the State Archives Center two years after final court action

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Noise

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
166	Complaint and Investigation File			Agency: 5	Records Center:	Archives Center: P
				Transfer to the State Archives Center		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Pesticides

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
159	License Receipt Books			Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
160	Application for Operator File			Agency: 5	Records Center:	Archives Center:
				Destroy		
161	Examinations Taken by Applicants			Agency: 5	Records Center:	Archives Center:
				Destroy		
162	Pesticide Registration Form			Agency: 5	Records Center:	Archives Center:
				Destroy		
163	Equipment Registration Form			Agency: 5	Records Center:	Archives Center:
				Destroy		
164	Insurance Verification Form			Agency: 5	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Reclamation of Land Revolving Fund

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction
167	Documents Pertaining to Sale and Purchase of Land			<p>Agency: Records Archives I Center: Center:</p> <p>Destroy five years after land is sold and after deed of sale is properly recorded with respective County Clerk, and audit</p>